



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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ASN(RD&A)
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SECNAV INSTRUCTION 5400.15C

Subj: DEPARTMENT OF THE NAVY (DON) RESEARCH AND DEVELOPMENT,
ACQUISITION, ASSOCIATED LIFE-CYCLE MANAGEMENT, AND
LOGISTICS RESPONSIBILITIES AND ACCOUNTABILITY

Ref: (a) 10 U.S.C., Section 5014
(b) U.S. Navy Regulations of 1990
(c) SECNAVINST 5430.7N
(d) 10 U.S.C., Section 5031
(e) 10 U.S.C., Section 5041
(f) DOD Directive 5000.1, The Defense Acquisition System,
of 12 May 2003
(g) DOD Instruction 5000.2, Operation of the Defense
Acquisition System, of 12 May 2003
(h) SECNAVINST 4105.1A
(i) SECNAVINST 5370.5B
(j) SECNAVINST 5430.92B
(k) SECNAVINST 5370.7C

Encl: (1) CNO and CMC Logistics Responsibilities
(2) COMNAVAIRSYSCOM Unique Responsibilities
(3) COMNAVSEASYSYSCOM Unique Responsibilities
(4) COMSPAWARSYSYSCOM Unique Responsibilities
(5) COMMARCORSYSYSCOM Unique Responsibilities
(6) COMNAVSUPSYSCOM Unique Responsibilities
(7) COMNAVFAENGCOM Unique Responsibilities

1. Purpose. To document and describe the duties and responsibilities of, and relationships among the Assistant Secretary of the Navy (Research, Development & Acquisition) (ASN(RD&A)) and the Program Executive Officers (PEOs) and Direct Reporting Program Managers (DRPMs), the Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), and the Commanders of the Systems Commands (SYSCOMs) for research and development, acquisition and associated life-cycle management and logistics responsibilities. This guidance also emphasizes the necessity for careful management and close oversight by these DON leaders to properly account for resources and to deliver quality products. This instruction has been widely revised and should be read in its entirety.

2. Cancellation. SECNAVINST 5400.15B.

3. Applicability and Scope. The responsibilities assigned by this instruction apply to research and development, acquisition, associated life-cycle management, and logistics within the United States Navy and the United States Marine Corps, and are supportive of the responsibilities and authorities assigned to the Secretary of the Navy (SECNAV) in references (a) and (b) and to the ASN(RD&A) in reference (c). Inherent in these responsibilities is the requirement to exercise good judgment, provide close supervision, conduct appropriate independent assessment, and the responsibility to notify DON leadership of situations requiring their immediate attention.

4. Background

a. Reference (a) requires SECNAV to designate a single office or other entity within the Office of SECNAV to conduct the acquisition function. No other office or other entity may be established or designated within the Office of the CNO (OPNAV) or the Headquarters, Marine Corps (HQMC) to conduct this function. Additionally, the Office of SECNAV has sole responsibility within the DON for the function of research and development. SECNAV may assign to the Office of the CNO and the Headquarters, Marine Corps, responsibility for those aspects of the function of research and development relating to military requirements and operational test and evaluation.

b. The Secretary of Defense (SECDEF) has required that the Secretaries of the Military Departments designate a single civilian official, at the Assistant Secretary-level within each Military Department, as the Service Acquisition Executive (SAE) with full-time responsibility for all Service acquisition functions. As designated in references (b) and (c), ASN(RD&A) is the Naval Acquisition Executive (NAE) for DON. The NAE has full responsibility for all DON acquisition programs through PEOs, DRPMs, or SYSCOM Commanders.

c. CNO, under references (b) and (d), and CMC under references (b) and (e), are responsible for determining requirements and establishing the relative priority of those requirements (consistent with the authority vested in the Joint Requirements Oversight Council (JROC)), and for Operational Test and Evaluation (OT&E). ASN(RD&A) is responsible for the development and/or procurement of systems satisfying those requirements. ASN(RD&A) is also responsible for ensuring that

requirements are properly transformed, within allocated resources, into executable research, development and acquisition programs. CNO and CMC will execute their responsibilities through the resource allocation process and their input to the acquisition decision-making process. CNO and CMC are responsible for assuring reasonable stability in the requirements process and assuring resources allocated to acquisition programs match realistic cost estimates.

d. Execution of these responsibilities includes proper oversight by all leaders within the NAE organization, including the SYSCOM Commanders, PEOs, DRPMs, and Program Managers. This oversight responsibility requires aggressive supervision, skilled risk evaluation and management, firm restraint on requirement growth driven by technical authority standards, and forthright and timely reporting of problems. Each leader will be evaluated on the ability to deliver products based on the allotted resources and in compliance with standards of quality and timeliness.

e. Definitions:

(1) In-Service Support. Management and technical support provided between delivery to operational forces and final disposal. This includes maintenance, supply support, systems engineering, technical support, configuration management, test and evaluation, and all aspects of Integrated Logistics Support (ILS).

(2) Life-Cycle Management. A management process, applied throughout the life of a system that bases all programmatic decisions on the anticipated mission-related economic benefits derived over the life of the system. This encompasses the acquisition program, in-service support and sustainment, modernization, and final disposal.

(3) Technical Authority (TA). TA is the authority, responsibility, and accountability to establish, monitor and approve technical standards, tools, and processes in conformance with applicable Department of Defense (DoD) and DON policy, requirements, architectures, and standards.

5. Responsibilities. The DON life-cycle management will have clear lines of communication, authority, accountability, and responsibility, and will be responsive to Fleet needs. This

life-cycle management organization methodology will employ integrated product teams that will manage and integrate critical processes ensuring that products optimize performance and long-term cost tradeoffs across all equipments, weapon and Information Technology (IT) systems, and organizational sub-elements. Specific life-cycle management responsibilities include:

a. ASN(RD&A) shall:

(1) Lead the acquisition management structure and process in a manner that is consistent with, and supportive of, the requirements, responsibilities, policies, and provisions of references (a) through (h) and other applicable DoD policy.

(2) Wield close programmatic oversight and provide forthright, timely reports to SECNAV.

(3) Recommend milestone decisions on Acquisition Category (ACAT) ID and IAM programs and serve as the milestone and program decision authority for ACAT IC, IAC and II programs.

(4) Provide logistics policy and oversight, interfacing as required with the Office of the SECDEF, other services, and DoD agencies. In this capacity, ASN(RD&A) will be supported by the CNO and CMC, as delineated in paragraph b below, and enclosure (1).

(5) Independently assess programs and take action to manage program risk.

(6) In coordination with the CNO and CMC, and per reference (i), ensure that all individuals, both military and civilian, in any chain of command have the ability to independently and directly report to leadership on any fraud, waste, abuse, mismanagement, safety, security, legal, or ethical issues related to research and development, acquisition, associated life-cycle management, and logistics matters. The right and the responsibility to immediately report such issues shall be identified to all individuals associated with research and development, acquisition, associated life-cycle management, and logistics programs and processes.

(7) In coordination with the CNO and CMC, provide training on an annual basis to all personnel involved in research and development, acquisition, associated life-cycle management, and logistics matters on the policy mandates of reference (j) and the protections offered by reference (k).

(8) In coordination with the CNO and CMC, conduct an analysis of alternatives prior to development, acquisition, and implementation of a weapon and/or IT system in accordance with reference (g) in order to develop Key Performance Parameters and Key System Attributes (KPP/KSA) for each weapon and/or IT system.

b. CNO and CMC shall:

(1) Advise SECNAV on the allocation of resources to meet program requirements in the programming and budget processes, using realistic cost estimates that balance resources with requirements.

(2) Coordinate the Test and Evaluation (T&E) Master Plan process. Act as liaison with Commander, Operational Test and Evaluation Force (COMOPTEVFOR) and Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA) on operational T&E requirements and execution.

(3) Identify, validate and prioritize the warfighting capability needs, resulting in an approved Initial Capabilities Document (ICD). Service Chiefs determine the minimum acceptable requirements and the critical systems characteristics that must be met by an acquisition program to fulfill the validated needs. These are documented in the Capability Development Document (CDD) and Capability Production Document (CPD) at the appropriate acquisition milestone per reference (g). Requirement stability is key to avoiding cost growth and shall be tightly managed. Service Chiefs will manage the ICD/CDD/CPD Joint Capabilities Integration and Development System (JCIDS) documentation process and make all liaison with the JROC.

(4) Direct efforts necessary to measure, report, and assimilate states of material readiness in order to evolve and refine future performance capability requirements for Navy and Marine Corps manpower, material, weapons, facilities, and Fleet support.

(5) Provide for review of ILS planning, management, resources, and execution as outlined in enclosure (1). The SYSCOMs, PEOs and DRPMs are responsible for all necessary certifications pertaining to programs under their cognizance.

(6) Provide support to ASN(RD&A) in logistics as outlined in enclosure (1).

(7) Direct the efforts necessary to ensure all aspects of in-service support, except the acquisition of that support, are met to support operational tasking.

(8) In coordination with ASN(RD&A), conduct an analysis of alternatives prior to the development, acquisition, and implementation of a weapon and/or IT system in accordance with reference (g) in order to develop KPP/KSA for each weapon and/or IT system.

c. The Commanders of Naval Air Systems Command (NAVAIRSYSCOM), Naval Sea Systems Command (NAVSEASYS COM), Space & Naval Warfare Systems Command (SPAWARSYSCOM), and Marine Corps Systems Command (MARCORSYS COM) shall act for and exercise the authority of the NAE to directly supervise management of assigned programs, to maintain oversight of cost, schedule, technical and performance, and to report directly to the ASN(RD&A) for all matters pertaining to research, development and acquisition. These SYSCOM Commanders listed above, as well as the SYSCOM Commanders at NAVSUPSYSCOM and NAVFACENGCOM described in paragraph 5.d and 5.e, below, will report to CNO and CMC, as appropriate, for the execution of their logistics sustainment and operating forces support responsibilities. The SYSCOM Commanders are responsible for: providing for in-service support; providing support services to PEOs and DRPMs without duplicating their management functions; and serving as the technical authority and operational safety and assurance certification authorities for their assigned areas of responsibility. Responsibilities unique to these individual SYSCOMs are outlined in enclosures (2) through (5). Common responsibilities for Commanders of NAVAIRSYSCOM, NAVSEASYS COM, SPAWARSYSCOM, and MARCORSYS COM are:

(1) Oversee the core processes required to support the acquisition, in-service support, and disposal of weapon and IT systems. Core processes include:

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- (a) Realistic and reasonable cost estimating;
- (b) Technology development and technical readiness assessment;
- (c) Systems engineering (acquisition and in-service) and development, including Environment, Safety and Occupational Health (ESOH) management;
- (d) Manufacturing;
- (e) Test and evaluation;
- (f) ILS (acquisition and in-service);
- (g) Installation;
- (h) Maintenance and modernization planning;
- (i) Configuration management;
- (j) Demilitarization and disposal, and
- (k) Comptroller, Legal, Contracting, and administrative support services.

(2) Operate and sustain the most efficient infrastructure needed to support acquisition, fielding, and in-service support of weapon systems, IT systems, and commodities. Formulate and defend program plans and budgets for this infrastructure including the maintenance of:

- (a) Science and Technology, design, engineering, industrial, and testing capabilities;
- (b) Technical and professional expertise;
- (c) Capability to conduct independent technical reviews; and
- (d) Capability to conduct Integrated Logistics Assessment.

(3) Establish standard policies, technical specifications, and processes where appropriate.

(4) Incorporate advanced technology and operating and support lessons learned into the design, maintenance, modernization, and acquisition specifications that apply to weapons and IT systems.

(5) Exercise technical authority and certification authority for weapon and IT systems.

(6) Manage and wield close programmatic oversight on programs not assigned to a PEO or DRPM, and make forthright, timely reports to ASN(RD&A).

(7) Provide support services to designated PEOs and DRPMs as provided in the Operating Agreements.

(8) Provide support to ASN(RD&A), CNO and CMC for analysis of mission areas, systems, and requirements.

(9) Serve as Head of the Contracting Activity (HCA) for both assigned programs and PEO/DRPM programs, except that Director, Strategic Systems Programs (SSP) is the HCA for DRPM(SSP).

(10) Develop plans with the PEOs and DRPMs for the transition of programs into and out of the PEO/DRPM organization. Submit plans to ASN(RD&A) for approval.

(11) Serve as milestone and program decision authority for assigned ACAT III and IV programs and other programs as delegated.

(12) Act as, or provide for, Source Selection Authority for assigned programs.

(13) Provide requested program information to CNO/CMC for Program Objectives Memoranda and budget development.

d. The Commander, Naval Supply Systems Command (COMNAVSUPSYSCOM), as head of a Systems Command, shall act for ASN(RD&A) and exercise the authority of the NAE to manage, and serve as the Logistics Support Authority (LSA) in support of other SYSCOMs, PEOs, DRPMs, and PMs and their assigned acquisition programs throughout their life-cycle, except as specifically under the cognizance of DRPM(SSP). COMNAVSUPSYSCOM

also exercises the NAE's authority as HCA for work under their cognizance, wields close programmatic oversight and provides forthright, timely reports to ASN(RD&A). COMNAVSUPSYSCOM will report to ASN(RD&A) for overall execution of LSA responsibilities. COMNAVSUPSYSCOM will report to CNO for the execution of in-service LSA responsibilities. The responsibilities unique to COMNAVSUPSYSCOM are outlined in enclosure (6).

e. The Commander, Naval Facilities Engineering Command (COMNAVFACENGCOM), as head of a Systems Command, shall act for ASN(RD&A) and exercise the authority of the NAE to manage and serve as authority for construction and facility engineering programs, including those in support of SYSCOMs, PEOs, DRPMs, and PMs and their assigned acquisition programs. This includes exercising the NAE's authority as HCA for work under their cognizance. COMNAVFACENGCOM will wield close programmatic oversight and provide forthright, timely reports to ASN(I&E), ASN(RD&A) and CNO, as appropriate, for the execution of in-service construction and facility engineering responsibilities. Other responsibilities unique to COMNAVFACENGCOM are outlined in enclosure (7).

f. PEOs and DRPMs shall act for and exercise the programmatic authority of the NAE to directly supervise the management of assigned programs, maintaining oversight of cost, schedule, and performance, and make timely and forthright reports directly to the ASN(RD&A) for all matters pertaining to acquisition. PEOs, DRPMs, and Program Managers will be selected based on their experience and understanding of acquisition programs as well as their ability to exercise good judgment, to manage resources and risk, and to provide forthright reports and timely deliverables. PEOs and DRPMs will work with the SYSCOMs to ensure that technical authority processes are an integral part of their program execution and that acquisition issues pertaining to supportability of their systems are coordinated and addressed throughout the entire life cycle. The PEOs and DRPMs will devote full-time and attention to manage their assigned programs and related technical support resources and wield close programmatic oversight and provide forthright, timely reports to ASN(RD&A). PEOs and DRPMs also shall:

(1) Exercise management authority, including selection and application, over core capabilities that support the

acquisition, in-service support, and disposal of assigned weapons and IT systems. These capabilities include:

- (a) Business and financial management;
- (b) Life cycle logistics;
- (c) Test, evaluation and certification;
- (d) Technology evaluation(s);
- (e) Systems engineering (including ESOH management);
- (f) Installation, maintenance, and modernization;
- (g) Configuration management; and
- (h) Demilitarization and disposal.

(2) Serve as milestone and program decision authorities for assigned ACAT III and IV programs and any other programs as may be delegated;

(3) Act as Source Selection Authority for assigned acquisition programs; and

(4) Obtain certification from the appropriate SYSCOM that the weapon and/or information system has satisfied operational safety and assurance requirements (e.g., SUBSAFE, Information Assurance, Air Worthiness, Weapon Safety, etc).

g. Program managers will be vested with the authority, accountability, and resources necessary to manage all aspects of assigned acquisition programs from concept development to demilitarization and disposal. Program managers will exercise management authority, including selection and application, over core capabilities that support the acquisition, in-service support, and demilitarization and disposal of assigned weapons and IT systems. The program manager's responsibilities include:

(1) Managing resources to deliver systems to satisfy validated warfighting requirements at optimal life-cycle cost;

(2) Formulating and defending program plans and budgets for the development, T&E, production, Fleet introduction, and in-service support of the weapon or IT system;

(3) Developing and implementing acquisition and in-service support plans;

(4) Incorporating availability, reliability, and supportability requirements into initial designs, acquisition strategies, and procurement documentation in accordance with DoD and SECNAV 5000 Series guidance;

(5) Obtaining approval for, and consistently implementing technical requirements changes across weapon and IT systems in accordance with DoD and SECNAV 5000 Series guidance. These include, but are not limited to, waivers and deviations from specifications; and

(6) Managing the configuration of the weapon or IT system.

6. Action. ASN(RD&A), CNO, CMC, SYSCOM Commanders, PEOs, and DRPMs will ensure performance of the functions and tasks specified here by issuing and implementing directives as required and ensuring subordinate organizations are chartered appropriately. Leaders with responsibilities in the naval acquisition process will embody the required skills of good judgment, insightful risk management, a strong bias for requirement stability, and forthright reporting in the execution of these duties and responsibilities.



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CHIEF OF NAVAL OPERATIONS AND COMMANDANT OF THE MARINE CORPS
LOGISTICS RESPONSIBILITIES

To assist ASN(RD&A) in the execution of acquisition policy regarding logistics and other logistics oversight responsibilities, CNO (Deputy Chief of Naval Operations (Fleet Readiness & Logistics (CNO (N4))) and CMC (Deputy Commandant, Installations and Logistics) will support, and in certain specific instances act for, ASN(RD&A) as follows:

1. Serve as the primary focal points for developing and recommending policy for the approval of ASN(RD&A) in all matters dealing with Life-cycle Logistics during initial and iterative systems development throughout a weapon and IT system's life-cycle.
2. Represent the DON in logistics business transformation, decision, mobilization, coordination, and policy groups. Provide coordinated recommendations to ASN(RD&A) for approval in those instances when a consolidated DON position is required.
3. Exercise authority with respect to audits by outside agencies (Government Accountability Office, Naval Inspector General, Naval Audit Service, Department of Defense Inspector General, etc.) and legislative issues regarding logistics, reserving for ASN(RD&A) those issues that require a consolidated DON response or otherwise require ASN(RD&A) involvement.
4. Provide staff support required to conduct other logistics responsibilities of ASN(RD&A) as directed.

COMMANDER NAVAL AIR SYSTEMS COMMAND UNIQUE RESPONSIBILITIES

COMNAVAIRSYSCOM has management authority and accountability for assigned naval aviation programs with the exception of that authority and responsibility specifically assigned to a PEO or DRPM. This includes designing, developing, procuring, and supporting naval aviation systems used by the Navy and Marine Corps. COMNAVAIRSYSCOM'S acquisition areas of cognizance include:

1. Aircraft.
2. Aeronautical weapons and IT systems.
3. Associated subsystems to include life support, propulsion and power, armament/ordnance, avionics, mission support, and aviation support equipment, and related systems and equipment including training, photographic and reconnaissance, airborne mine countermeasures, aircraft launching and recovery, and target systems.

COMMANDER NAVAL SEA SYSTEMS COMMAND UNIQUE RESPONSIBILITIES

1. COMNAVSEASYS COM has management authority and accountability for assigned weapon system, IT system, and ship and ship system acquisition programs with the exception of that authority and responsibility specifically assigned to a PEO or DRPM. COMNAVSEASYS COM's acquisition areas of cognizance include:

a. Ships, submarines, submersibles, and other water craft including all associated ship systems, ship combat systems, shipboard support systems including, ship/aviation interface systems, and surface/submarine expendable ordnance.

b. Assigned small arms, infantry equipment, body protective armor, and inshore undersea warfare equipment.

c. Special explosive ordnance disposal tools and equipment.

d. Chemical, biological, and radiological warfare defense materials and equipment.

e. Respiratory protective devices, diving methods and equipments, and submarine rescue methods and equipment.

f. Equipage for towing and salvage.

2. The responsibilities of the Director of Naval Nuclear Propulsion Program, who also serves as the Deputy Commander for Nuclear Propulsion Program (NAVSEA 08) and Deputy Assistant Secretary for Naval Reactors, Department of Energy, are set forth in Executive Order 12344 and 42 U.S.C. Section 7158 and are unaffected by this instruction.

3. COMNAVSEASYS COM acts in the Coordination of Shipbuilding, Conversion and Repair capacity to address national mobilization planning requirements for DoD, Department of Transportation (DOT) and Department of Commerce (Maritime Administration) by agreement of DoD, DOT, and Department of Energy.

COMMANDER SPACE AND NAVAL WARFARE SYSTEMS COMMAND
UNIQUE RESPONSIBILITIES

COMSPAWARSYSCOM has management authority and accountability for assigned C4ISR and Space, Space Systems, and Enterprise Information systems and equipment or components not assigned to a PEO or DRPM. COMSPAWARSYSCOM'S acquisition areas of cognizance include:

1. Command and control systems.
2. Communications systems.
3. Intelligence systems.
4. Undersea surveillance systems.
5. Space systems.
6. Enterprise information systems.
7. Developing force level warfare systems architecture and conducting force level space and electronic warfare system engineering.
8. Force Warfare System Engineering Board coordination among the SYSCOMs.
9. Additional duty assignments as the FORCEnet/C4ISR Chief Engineer.

COMMANDER MARINE CORPS SYSTEMS COMMAND UNIQUE RESPONSIBILITIES

COMMARCORSSYSCOM has management authority and accountability for assigned Marine Corps Expeditionary Forces weapon and IT system programs with the exception of naval aviation programs and that authority and responsibility specifically assigned to a PEO or DRPM. COMMARCORSSYSCOM's acquisition areas of cognizance include:

1. Information Systems and Network Infrastructure systems and equipment.
2. Battlespace Management and Air Defense systems and equipment to include Marine Air Ground Task Force Command and Control and Operations Center systems and equipment.
3. Communications and Intelligence systems and equipment.
4. Infantry Weapons Systems and equipment to include amphibious raid and ground reconnaissance systems and equipment.
5. Armor and Fire Support to include tracked combat vehicles, light armored vehicles and artillery systems and equipment.
6. Ground Transportation and Engineer Systems and equipment.
7. Combat Equipment and Support Systems to include individual clothing and equipment systems.
8. Training Systems and Equipment associated with Marine Corps unique requirements.
9. Ammunition items to include procurement, surveillance, and maintenance of Marine Corps weapons and associated ordnance items.

COMMANDER NAVAL SUPPLY SYSTEMS COMMAND UNIQUE RESPONSIBILITIES

COMNAVSUPSYSCOM has technical and management authority and accountability for assigned logistics support functions with the exception of unique authority and responsibility specifically assigned to other SYSCOM Commanders, PEOs, or DRPMs.

COMNAVSUPSYSCOM's unique areas of cognizance include:

1. Act as the process coordinator for logistics issues as directed by the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RDA)).
2. Collaborate with the other SYSCOMs and stakeholders to fully integrate logistics support policies, tools, and standards.
3. Chair the Logistics Partnership Council (LPC) consisting of logistics heads from the CNO, CMC, SYSCOMs, and key stakeholders - Commander, U.S. Fleet Forces Command (CFFC)/Commanding General Fleet Marine Forces (CGFMF), PEOs, and DRPMs.
4. Act as administrative agent to ensure the Independent Logistics Assessment process is conducted consistently and in compliance with SECNAV policy.
5. Monitor and report the progress and impact of LPC efforts to ASN(RD&A) and SYSCOM leadership semi-annually.
6. Act as the responsible agent for overall DON Automatic Identification Technology (AIT) and serve as the DON AIT Program Manager. Chair the DON AIT Steering Group consisting of AIT leads from other SYSCOMs and key stakeholders - CNO, CMC, Commander, U.S. Fleet Forces Command (CFFC)/Commanding General Fleet Marine Forces (CGFMF), PEOs, and DRPMs.

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COMMANDER NAVAL FACILITIES ENGINEERING COMMAND
UNIQUE RESPONSIBILITIES

COMNAVFACENGCOM has management authority and accountability for assigned Navy Expeditionary Forces weapon, and IT system programs, or components not specifically assigned to other SYSCOM Commanders, a PEO or DRPM. COMNAVFACENGCOM's acquisition areas of cognizance include:

1. Facility engineering and construction, including capital improvements, maintenance and facility services, environmental remediation, real estate, public works, Anti-Terrorism Force Protection, and contingency engineering.
2. Expeditionary and construction training systems and equipment.
3. Logistics-Over-The-Shore, near shore, and ocean facilities infrastructure systems
4. Expeditionary equipment, infrastructure, and IT systems, including Civil Engineer Support Equipment.